

Assessment on Client's Knowledge of Derivative and Structured Products

對客戶衍生及結構性產品認識的評估

To 致： Changjiang Securities Brokerage (HK) Limited
 長江證券經紀(香港)有限公司

Account Information 帳戶資料 Account Number 帳戶號碼： _____
 Account Name 帳戶名稱： _____

Instructions 指示：

Please return your completed form to us i) by post to Client Services Department, Suite 3605-3611, 36/F, Cosco Tower, 183 Queen's Road Central, Hong Kong, ii) by fax to (852) 2823 0402 or iii) by email to brokeragesc@cjsc.com.hk. Your request will be processed within 3 working days upon our receipt of the duly completed form. For inquiries, please do not hesitate to contact us at (852) 2823 0388. 請將已填妥的表格 i) 郵寄至香港中環皇后大道中 183 號中遠大廈 36 樓 3605-3611 室、ii) 傳真至(852) 2823 0402 或 iii) 電郵至 brokeragesc@cjsc.com.hk。本公司將在收到填妥的表格後三個工作天內處理閣下的申請。如欲查詢，請致電(852) 2823 0388。

I/We have acquired knowledge of derivative and structured products:

本人/吾等從以下途徑獲得對衍生及結構性產品之認識：

- By undergoing training or attending courses that provide general knowledge of the nature and risk of derivative and structured products (e.g. relevant online or classroom courses offered by academic institutions or financial institutions); 已接受有關介紹一般衍生及結構性產品之性質及風險的培訓或課程 (例如由學術機構或金融機構所提供之網上課程或教室課程);
 (Please specify 請註明 _____)
- From my/our current or previous work experience related to derivative and structured products; 從本人/吾等現時或過去與衍生及結構性產品有關的工作經驗;
 (Please specify 請註明 _____)
- From my/our relevant trading experience, i.e. I/we have executed five or more transactions in derivative and structured products (e.g. Derivative Warrants, Callable Bull/Bear Contracts, Stock Options, Futures and Options, Commodities, Structured Products and Exchange Trade Funds etc. whether traded on an exchange or not) within the past three years; or 從本人/吾等相關之交易經驗，即本人/吾等於過去三年內已進行了五次或以上有關衍生及結構性產品之交易 (例如：衍生權證、牛熊證、股票期權、期貨及期權、商品、結構性產品及交易所買賣基金等，不論是否於交易所進行交易)；或
- I/We have **NOT** acquired knowledge of derivative and structured products and: 本人/吾等**沒有**衍生及結構性產品之認識及：
 (Please choose one 請選擇一項)
 - I/We **do not wish** to trade derivative and structured products. 本人/吾等**無意**買賣衍生及結構性產品。
 - I/We **wish** to trade derivative and structured products. 本人/吾等**有意**買賣衍生及結構性產品。
 (If you have **no** relevant knowledge of derivative and structured products but wish to trade these products, you are advised to read carefully and ensure that you fully understand the relevant risks of trading derivative & structured products as explained in the Risk Disclosure Statement of Securities Trading Agreement. 如閣下**沒有**衍生及結構性產品相關之知識，但有意買賣有關產品，請必須先仔細閱讀及完全明白《證券交易協議》有關衍生及結構性產品交易的風險披露聲明。)

Client Declaration 客戶聲明

I/We hereby confirm that the Risk Disclosure Statement regarding derivative and structured products have been provided and explained to me by Changjiang Securities Brokerage (HK) Limited. I/we have read and fully understood the relevant risk of trading derivative and structured products, and I/we accept to bear the potential risk associated with such products if I/we wish to engage in relevant trading. 本人/吾等已獲長江證券經紀(香港)有限公司提供及解釋有關衍生及結構性產品的風險披露聲明，並已閱讀及完全明白買賣有關產品所帶來的風險。若本人/吾等欲進行有關交易，本人/吾等同意承擔其帶來的潛在風險。

Before trading in derivative and structured products, I/we hereby confirm that I/we will conduct self-assessment in making investment decision and seek independent professional advice if necessary and I/We confirm that I/we have sufficient capital to bear the risks and losses that may arise from such trading. 在買賣衍生及結構性產品前，本人/吾等確認會考慮自身狀況及進行自我風險評估而作出投資決定，有需要時會尋求獨立專業意見，並確認有足夠的資本承擔因買賣該產品而可能招致的風險和損失。

Authorized Signature(s)

X _____

S.V

(All account holders of joint account must sign jointly 所有聯名帳戶持有人必須簽名)

Date 日期 _____

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|---------------------------|--------------|----------------|-------------|----------|
| Handled/Phone Record By: | Approved By: | Data Input By: | Checked By: | Remarks: |
| Name: | Name: | Name: | Name: | Name: |
| Date: | Date: | Date: | Date: | Date: |